Stanford University School of Medicine Faculty Handbook

7.1 Definitions, Resources, Title, Duration of Appointments

A. Instructor Role

The Instructor role is defined primarily by engagement in mentored research and scholarly activities that advance clinical medicine. Secondary and tertiary roles may involve teaching activities and clinical care, as applicable. The academic title and classification of Instructor was established to acknowledge individuals who demonstrate interest in and the potential for a successful academic career in investigation, teaching, and clinical care (as applicable), and to aid in the transition from training to a path that may lead to a faculty career in academic medicine. There is no expectation of a Stanford professorial appointment following an Instructor appointment.

Instructors are to be distinguished from individuals holding the title of Clinical Instructors in the Clinician Educator Line and from Adjunct Clinical Instructors in the Adjunct Clinical Faculty Line for whom the role is entirely different.

There are two categories of Instructor: Instructor and Instructor (Affiliated).

B. Definition of Instructor

Instructors are salaried employees of Stanford University, classified as exempt staff and, in general, subject to and expected to comply with the University’s applicable policies and procedures, including (in general) the employment policies and procedures in Chapter 2 of Stanford University’s Administrative Guide.

C. Definition of Instructor (Affiliated)

An Instructor (Affiliated) is not an employee of Stanford University. An Instructor (Affiliated) is employed by another institution with which the School of Medicine, Stanford Hospitals and Clinics and/or Lucile Packard Children’s Hospital has an affiliation agreement. An Instructor (Affiliated) demonstrates an interest in and potential for a successful academic career in investigation and teaching and whose contributions advance the missions of Stanford University and Stanford Medicine.

The appointment and reappointment criteria, duration, evidentiary requirements and review processes are generally the same for these individuals as for Instructors who are paid by Stanford.

Instructor (Affiliated) is an academic title only, rather than an employment category. An Instructor (Affiliated) does not receive compensation by or through Stanford University. Thus, the sections below that relate to Stanford employees are generally not applicable to an Instructor (Affiliated).

When using their Instructor (Affiliated) title, appointees must include the word
Appointment as an Instructor (Affiliated) entitles the individual to identify himself or herself as such and to include his or her Instructor (Affiliated) title on stationary, business cards, and in scholarly publications — only when the subject research relates specifically to the Instructor (Affiliated) member’s Stanford-related duties, activities and responsibilities.

D. Programmatic Need, Position and Resource Allocation

Programmatic need, including financial viability, must be evaluated and established for each Instructor appointment and reappointment. Given this foundation, there is no limit on the number of Instructor positions in the School of Medicine. An Instructor appointment may be made by an academic department or by a School of Medicine Institute or Center. In these policies, a School of Medicine academic unit in which an Instructor appointment is made is referred to as “department”.

Each regular (benefits-eligible) Instructor is assigned a unique position number for purposes of recordkeeping and reporting. Instructors employed in contingent or casual capacity are assigned to shared position numbers.

In addition to salaries, Instructors may be provided with other resources such as participation in departmental incentive plans. Benefits available to Instructors are described in Section 7.4.

E. Identification of Candidates, Diversity Considerations

Instructor positions are not normally subject to the posting and search procedures required for other exempt appointments to the University staff. Candidates currently affiliated with Stanford in some other capacity (e.g., Postdoctoral Fellow) are often identified as potential Instructors. Other candidates may emerge as a result of networking conducted at peer institutions.

In their identification of candidates, departments are expected to keep in mind Stanford’s commitment to diversity and to the recruitment of women and members of minority groups, as well as others who would bring additional dimensions to the University’s research, teaching and clinical missions.

F. Licensure, Medical Staff Membership and Privileges, Malpractice Insurance, and Authorization to Work

1. Licensure

If the Instructor will assume responsibilities for the care of patients at Stanford Hospital and Clinics and/or Lucile Packard Children’s Hospital, he or she must have or obtain a professional license from the State of California and apply for Medical Staff membership and be approved through a formal credentialing
process that results in clinic privileges. Information about obtaining a professional license from the State of California may be obtained from the Medical Board of California, http://www.medbd.ca.gov/ and from Graduate Medical Education, http://med.stanford.edu/gme/current_residents/ca_md_license.html/.

California Business and Professions Code Sections 2100 et seq. apply to the applications of graduates of medical schools located outside the United States or Canada. In particular, Section 2113 applies to a person who does not immediately qualify for a physician and surgeon’s certificate and who is offered by the dean of an approved medical school in the State of California a full time faculty position. Section 2113 describes the requirements for applying for a certificate of registration to engage in the practice of medicine only to the extent that the practice is incident to and a necessary part of the person’s duties as approved by the Medical Board of California in connection with the faculty position. Section 2113 registration is for full time faculty positions only. Additional information regarding this legislation is available from the Division of Consumer Affairs, Medical Board of California at http://www.leginfo.ca.gov/cgi-bin/displaycode?section=bpc&group=02001-03000&file=2100-2115 and from Graduate Medical Education (GME), http://med.stanford.edu/gme/current_residents/ca_md_license.html/.

The “Notice of Separation Under Business and Professions Code Sections 2111 and 2113”, used to notify the Medical Board of California that the faculty appointment of a 2113 registration holder has ended, is available on the GME’s web site.

2. Medical Staff Membership and Privileges

Instructor appointments for which clinical care activity is applicable are contingent upon and coterminous with the candidate obtaining and maintaining in good standing the privileges necessary for the performance of his or her intended clinical role. Failure to obtain and maintain in good standing such privileges will generally result in the immediate termination of the Instructor appointment. Medical Staff membership and privileges apply only to clinical practice as an Instructor and are coterminous with that appointment. Information about medical staff membership and privileges at the Stanford University Medical Center may be obtained from the Medical Staff Office, http://medicalstaff.stanfordhospital.org/index.html.

The Stanford University Medical Center Medical Staff Office will conduct a credentialing process for an Instructor (Affiliated). This process includes a full background check requiring “primary source” verification of all information provided in the application. Additionally, an Instructor (Affiliated) who supervises students and trainees at an affiliated institution where medical staff privileges are required must obtain and maintain medical staff privileges at the
affiliated institution. Failure to obtain and maintain in good standing such privileges will generally result in the immediate termination of the Stanford appointment.

3. Malpractice Insurance

Information regarding malpractice coverage for providing clinical services at the Stanford University Medical Center is available from Risk Consulting, http://src.stanfordhospital.org/services/.

4. Authorization to Work, Visas for and Employment of Foreign Nationals

An Instructor must be authorized to work as required by the Immigration Reform and Control Act. See https://www.stanford.edu/group/fms/fingate/staff/payadmin/i9.html.

If the candidate for an Instructor position is a foreign national, the candidate and the department must comply with the applicable policies and procedures appearing in Administrative Guide Memo 2.4.1, https://adminguide.stanford.edu/chapter-2/subchapter-4/policy-2-4-1, and on the Bechtel International Center website, http://icenter.stanford.edu/scholars/atstanford/classification.html - faculty.

G. Concurrent Appointments

1. Joint Appointments

   a. Definition

   Two departments may recognize the interdisciplinary nature of an Instructor’s role and responsibilities with joint appointments. Under this arrangement, the two departments appoint the Instructor equally with one department is designated as “primary” and the other as “joint.” Normally, both departments split the salary. The Instructor is assigned two position numbers, one in each unit.

   b. Titles

   Titles reflect both of the Instructor’s primary and joint departmental roles by using, for example, the following format: Instructor of (subject affiliated with primary department) and of (subject affiliated with secondary department).
c. Terms

Joint appointments are normally effective and coterminous with the primary appointment. If the joint appointment is added, the start date may postdate the start date of the primary appointment but under no circumstances may the joint appointment extend beyond the end date of the primary appointment.

d. Responsibilities

An Instructor holding a joint appointment is expected to carry a normal load of scholarly activity, teaching and clinical care (if appropriate) applicable to the percent time of appointment and responsibilities identified by the departments to which he or she is appointed. Under no circumstances may the Instructor’s total percent time of appointment and related effort exceed 100% full time equivalent (FTE).

2. Secondary Appointments

a. Definition

A secondary appointment is defined as an arrangement whereby the Instructor holds a primary appointment of greater percent time, as well as a secondary appointment of less percent time, in departments within the School of Medicine. It is permissible for an Instructor to hold more than one secondary appointment. A secondary appointment acknowledges the Instructor’s active participation in a department’s scholarly, educational and, if appropriate, clinical mission, recognized by the secondary department with the allocation of resources (e.g., position number, salary) commensurate with the percent time of appointment. Under no circumstances may the Instructor’s total percent time of appointment and related effort exceed 100% full time equivalent (FTE).

b. Titles

Titles reflect the Instructor’s primary and secondary departmental roles by using, for example, the following format: Instructor of (subject of primary affiliation) and of (subject of secondary affiliation). Multiple secondary appointments should be listed in descending order of involvement or in alphabetical order.

c. Terms

Secondary appointments are normally effective and coterminous with the primary appointment. If the secondary appointment is added, the start date may postdate the start date of the primary appointment but under no
circumstances may the secondary appointment extend beyond the end date of the primary appointment.

d. Responsibilities

Departments have discretion in determining the set of responsibilities that are associated with secondary appointments, although it is expected that a minimum threshold will be established for conferral of the title and will be applied equitably and will reflect the department’s specific programmatic need.

H. Duration of Appointments

The duration of appointment is generally the same for Instructors paid by Stanford and for Instructors (Affiliated).

Instructor appointments are for one year and may be renewed, upon a showing of high quality performance at Stanford and programmatic need (including budgetary considerations). Appointments are generally limited to a total of three years, unless the candidate secures a mentored grant, an initial independent grant, or other funding consistent with his or her career goals. In that case, the appointment may be considered for an extension for the duration of that award for up to an additional five years, for a total of no more than eight years in rank.

In accordance with Administrative Guide Memo 2.1.9.5, Instructors are notified in writing of the planned fixed term end.

1. Term Appointments

Although term appointments are frequently made with the clear possibility of reappointment, there is no entitlement to such action at the end of the term, and it is not automatic. Instead, decisions on reappointment, like decisions on initial appointment, are subject to programmatic need and budgetary considerations, as well as the exercise of professional and scholarly judgment and discretion by the School’s departmental faculty and the School’s academic leadership.

Reappointment reviews are generally (but not always) initiated approximately four months in advance of the appointment end date so that a decision is reached before the candidate’s current appointment ends. Extension of term appointments is discouraged. In the event that an extension is necessary, it is expected to be of short duration and supported by a reasonable explanation.

2. Coterminous Appointments

As stated above in G.1 and G.2, all joint and secondary appointments are coterminous with the Instructor’s primary appointment.
The appointment of an Instructor (Affiliated) is coterminous with the agreement between Stanford Hospital and Clinics (SHC) and/or Lucile Packard Children’s Hospital (LPCH) and the institution that employs the Instructor (Affiliated)’s as well as the continued employment of the Instructor (Affiliated) by that institution. In the event that either the agreement ends or the Instructor (Affiliated)’s employment terminates, the Instructor (Affiliated)’s Stanford appointment will likewise terminate, unless Stanford at its sole discretion determines that an alternative position is available.

I. Offer Letters

It is the responsibility of the department chair to see that a candidate for appointment as an Instructor is informed in writing of, and agrees to, the terms and conditions of his or her proposed appointment before hire. The approved offer letter template is available on the Office of Academic Affairs’ website, http://med.stanford.edu/academicaffairs/CEs/#Instructors. An offer letter addendum is required if there are changes to an Instructor’s percent time of appointment, assigned role and responsibilities, and/or compensation other than an increase occurring as a midyear salary adjustment or as part of the annual salary setting process. The approved addendum template is also available on the Office of Academic Affairs website.

Similarly, Instructors (Affiliated) are to receive a Letter of Invitation from the department chair or director of the Institute or Center to which he or she is to be appointed stating the start date, end date, and the terms and conditions of the appointment. The approved template is available on the Office of Academic Affairs’ website, http://med.stanford.edu/academicaffairs/CEs/#Instructors.

All offers are contingent upon final review and approval by the School of Medicine.

J. Appointment Letters

Administrative Guide Memo 2.1.9.5(1) requires that at the time of appointment, the department notify a fixed-term employee in writing of the planned termination date. This requirement is met with the issuance of a letter from the Vice Dean of the School of Medicine to the Instructor when an initial appointment or a reappointment has been approved. The letter confirms the appointee’s rank, the name of the department and the name of the division (if applicable), the percent time of appointment (if applicable), and the effective dates of the appointment.

K. Resignations

For planning purposes, the University requests that employees notify their supervisors as soon as possible of any intention to resign. At least four weeks’ prior notice is expected. Therefore, if an Instructor resigns before his or her appointment ends, a written statement of resignation should be submitted that includes the date of and reasons for the
resignation.

In the event that an Instructor (Affiliated) resigns from his or her employment at the affiliated institution, a written statement of resignation from his or her Stanford appointment should be submitted as well.

L. Terminations and Nonrenewal

An Instructor may be separated from employment prior to the planned termination date of his or her appointment as set forth in Administrative Guide Memos 2.1.9.6 and 2.1.17. Generally, such termination may be based on a change in programmatic need (including budgetary considerations) or for just cause, when satisfactory performance ceases. Proper notice should be given in all circumstances, normally 90 days for programmatic reasons and 30 days for non-programmatic reasons.

As noted above, although continued affiliation in the form of a reappointment may occur, there is no entitlement to such action at the end of a term, and it is not automatic. It is expected that discussions between an Instructor and his or her supervisor will be held well in advance of the appointment end date regarding the possibility, if any, of renewal.

M. Personnel Files

The Personnel Files and Data policy found in Administrative Guide Memo 2.1.3, https://adminguide.stanford.edu/chapter-2/subchapter-1/policy-2-1-3, applies to the personnel files of Instructors. Section 2.1.3.4, Access & Use, reflects Stanford’s policy of many years that an individual should be able to learn the general substance of the information contained in his or her personnel file.

However, material supplied to the University by a third party (whether inside or outside the University), or supplied by a member of the University to a third party, is presumed to be confidential unless otherwise stated and should not be shown to the individual. Because the quality of the University’s appointment and reappointment process depends on the candor of the participants, Stanford’s policy is to protect vigorously the sources of information. Accordingly, materials in an Instructor’s appointment file such as peer evaluations from outside and inside sources, letters from students, departmental or higher-level documents regarding the review process, and documents containing statements based on personal knowledge, judgments or opinions are regarded as confidential. Such material should, therefore, upon request, be summarized by a responsible School officer in a manner that preserves the confidentiality of the source of the information.

N. Records Retention

Records of former Stanford employees should be retained until the later of eight years following the date of termination or, if a claim is brought (e.g. grievance, lawsuit, or charge with state or federal agency), until the disposition of the claim is final. See
Administrative Guide Memo 2.1.3.5.b. The records of non-employee affiliates who formerly held an academic appointment as Instructors (Affiliated) should be retained in a similar manner.
7.2 Criteria and Application of Criteria for Appointments and Reappointments

A. Criteria

The major criterion for appointment in the School of Medicine to the rank of Instructor or Instructor (Affiliated) is a demonstrated interest in, and the potential for, a successful academic career in investigation, teaching, and clinical care (as applicable).

The University recognizes that there are significant variations in how candidates qualify for and secure initial appointment and reappointment according to field and discipline. Candidates come from different backgrounds and receive different educational training. In addition, there may be great variation in emphasis among the components of activity (i.e., scholarship, teaching, clinical care, as applicable) considered under these criteria and guidelines. Given the many different activities in which Instructors are engaged, such variations are expected and are appropriate. Nevertheless, all appointments have in common the requirement of excellence, however measured, and reappointments will be considered for individuals who demonstrate high quality performance in their assigned roles.

B. Proportionality of Contributions

As stated in 7.1.A, typically Instructors are primarily engaged in mentored research and scholarly activities. Secondary and tertiary roles may include teaching activities and clinical care, as applicable. The allocation of an Instructor’s effort is determined by the department chair (or designate) and can vary in light of the strategic and programmatic needs of the department and School.

C. Application of the Criteria

1. Standards of Excellence, Acceptable or Unacceptable Performance

In determining excellence or high quality performance in their assigned roles, the following definitions should be used as a general guide:

*Excellence* is defined as achieving a level of distinction that is consistent with the high standards of Stanford University and the mission of the School of Medicine, that is, to be a premier research-intensive medical school that improves health through leadership and collaborative discoveries and innovation in patient care, education and research.

School of Medicine expectations for *acceptable performance* will typically be understood to be less than excellence (as described above), but to exceed the basic professional competence standards of the general scholarly and clinical communities. Areas where performance is found to be acceptable, but with room for improvement, should receive appropriate attention through discussions with the candidate or through the counseling memorandum that is part of the
reappointment review process.

*Unacceptable performance* denotes a quality of activity that is below the standard for acceptable performance expected of a member of the Stanford academic community. In rare instances, such a situation may be mitigated if, in the opinion of reviewing bodies (informed by compelling evidence) the unacceptable performance is predicted to improve significantly through the counseling process.

2. Factors in Applying the Criteria

Determination of satisfaction of applicable criteria is based on material accumulated during the appointment and reappointment review process; documentation that explicitly and tangibly supports both the quality of performance and the quantity of contributions is required.

The professional judgment of those assessing these data is the critical factor in determining whether the member’s accomplishments meet or surpass the standard of excellence in their assigned roles.

Evaluation should be of total performance. Taking into consideration the proportionality of contributions, appropriate weight should be given to the quality and quantity of work in the following categories:

a. Scholarship

The first criterion for an Instructor appointment at Stanford is that the candidate must have demonstrated an interest in and the potential for a successful academic career in investigation. Excellence in mentored research and scholarly activities is a requirement and investigative independence (or, the promise of investigative independence) is expected since it can be a useful marker of substantive scholarly contributions.

Factors considered in assessing research performance or promise include (but are not limited to) the following: scholarly activity and productivity; impact, innovation and creativity; recognition in the field; ability to work effectively as part of a research team (if applicable); effective communication with colleagues, staff and students; and professionalism, institutional compliance and ethics.
b. Teaching

A standard of excellence or of acceptable performance in teaching is a requirement for those Instructors whose duties include such practice.

Teaching is broadly defined to include: laboratory; didactic instruction; clinical “bedside” teaching; career mentoring and advising; program building. Factors considered in assessing teaching performance or promise include (but are not limited to) the following: knowledge of the material; clarity of exposition; positive style of interaction with students; availability; professionalism; institutional compliance and ethics; effective communication skills; helpfulness in learning; ability to stimulate further education; and ability to work effectively as part of the teaching team.

It is recognized that many Instructors in clinical departments teach in small group sessions or with individual trainees. With the approval of their departments and if time allows, Instructors may also develop or participate in formal didactic courses.

Teaching may, for example, be of undergraduates, medical students, residents, clinical and postdoctoral fellows, nurses and ancillary staff, other physicians at the candidate’s primary facility, and in postgraduate and continuing medical education.

c. Clinical Care

Excellence in clinical practice or clinical care is a requirement for those Instructors whose duties include such practice.

Factors considered in assessing clinical performance may include (but are not limited to) the following:

General Clinical Proficiency: maintains up-to-date knowledge base appropriate to scope of practice; maintains current technical/procedural proficiency; applies sound diagnostic reasoning and judgment; applies sound therapeutic reasoning and judgment; applies evidence from relevant scientific studies; seeks consultation from other care providers when appropriate; maintains appropriate clinical productivity; and demonstrates reliability in meeting clinical commitments.

Communication: communicates effectively with patients and their families, physician peers, trainees, and other members of the health care team (for example, nurses, nurse practitioners, respiratory therapists, pharmacists); and maintains appropriate medical documentation.

Professionalism: treats patients with compassion and respect; serves as
patient advocate (puts the patient first); shows sensitivity to cultural issues; treats physician peers, trainees, and other members of the health care team (for example, nurses, nurse practitioners, respiratory therapists, pharmacists) with respect; is available to colleagues; responds in a timely manner; and respects patient confidentiality.

Systems-Based Practice: effectively coordinates patient care within the health care system; appropriately considers cost of care in medical decision-making; participates in quality improvement activities; and demonstrates leadership in clinical program development and administration.

Instructors may contribute indirectly to patient care in clinical environments that heavily emphasize technology and/or a multidisciplinary approach. For example, a radiation physicist may play an integral role in treatment planning for individual oncology patients or a biomedical engineer may work closely with a surgeon or interventional cardiologist to develop and implement new treatment strategies. In such cases, factors considered in assessing clinical performance may include (but are not limited to) applicable factors described above.

d. Principal Investigator Waivers

Instructors appointed in the School of Medicine are eligible to apply for Principal Investigator waivers. The Research Management Group’s website http://med.stanford.edu/rmg/piwaiver.html provides details on the permitted research activity, waiver eligibility criteria and request procedures.

e. Respectful Workplace

The School of Medicine is committed to providing a work environment that is conducive to teaching and learning, research, the practice of medicine and patient care. Stanford’s special purposes in this regard depend on a shared commitment among all members of the community to respect each person’s worth and dignity. Because of their roles within the School of Medicine, Instructors are expected to treat all members of the Stanford community with civility, respect and courtesy and with an awareness of the potential impact of their behavior on staff, students and other faculty members.

As detailed earlier in this section, application of criteria for evaluating the quality of scholarship, teaching and clinical care includes specific expectations regarding an Instructor’s professional behavior in the workplace. They are reiterated here to emphasize their importance as factors in appointment and reappointment actions.
In scholarly activities, such factors relevant to whether the standards for scholarship have been met may include: the ability to work effectively as part of a research team; effective communication with colleagues, staff and students; and professionalism, institutional compliance and ethics.

In teaching activities, such factors relevant to whether the standards for teaching have been met may include: a positive style of interaction with students; availability; professionalism; institutional compliance and ethics; effective communication skills; helpfulness in learning; and ability to work effectively as part of the teaching team.

In clinical care activities, such factors relevant to evaluation of whether the standards for clinical performance have been met may include: professionalism, institutional compliance and ethics; humanism; ability to work effectively as part of the health care team; and effective communication with colleagues, staff, students and patients.

Results from the distribution of clinical excellence and teaching evaluation forms, as well as from referee letters, will aid reviewing bodies in assessing an Instructor’s performance in the workplace.

3. Supplemental Criteria

a. Appointment

Individuals appointed as Instructors or Instructors (Affiliated) will have completed their doctoral degree, but are not yet ready for candidacy for Assistant Professor positions.

Instructors may have full charge and responsibility for a departmental course, apply for mentored grants and for an initial independent grant (e.g. an NIH R01), and engage in research, clinical teaching, other scholarly activities, and/or patient care, depending upon their level of expertise and credentials and the details of their appointment.

The initial term of appointment as Instructor is typically one year, and may be renewed.

b. Reappointment

An Instructor or Instructor (Affiliated) is assessed for reappointment on the basis of his/her performance and achievements in the areas of investigation, teaching, and clinical care (as applicable). He/she may be reappointed based on evidence of progress, high quality performance, fulfillment of the applicable criteria, and continuing programmatic need.

There should be evidence that the candidate will continue to successfully
fill the programmatic need for which the reappointment is made and to make meritorious contributions to his or her discipline and to the School.

The term of reappointment is typically one year, and may be renewed for a third year (based on fulfillment of the applicable criteria and subject to continuing programmatic need). If the candidate is the recipient of a mentored grant or other funding consistent with his/her career goals, reappointment is contingent upon and coterminous with funding. The total time as an Instructor normally may not exceed eight years.
7.3 Evaluation Processes at the Department and School Levels

A. Overview

The purpose of the appointment and reappointment evaluation of an Instructor is to appraise, on the record to date, the candidate’s standing in his or her field. Decisions on appointment and reappointment are subject to the exercise of professional and scholarly judgment and discretion by departmental faculty and academic leadership at the School level.

The University recognizes that there are significant variations in how candidates qualify for and secure appointment according to field and discipline. Candidates come from different backgrounds and receive different educational training. In addition, there may be great variation in emphasis among the components of activity (i.e., scholarship, teaching, clinical care, as applicable). Nevertheless, all appointments have in common the requirement of excellence, however measured.

Procedures for the evaluation process at the department and School levels are described below. Departures from these guidelines should be rare and for good reason. Procedural questions should be addressed to the Office of Academic Affairs.

Instructions for assembly of each component of the appointment or reappointment file, including the process for compiling a list of proposed evaluators (referees and trainees) is available on the Office of Academic Affairs website http://med.stanford.edu/academicaffairs/CEs/#Instructors.

B. Confidentiality

The entire appointment or reappointment proceedings during which specific candidates are discussed are to be held in strict confidence by all participants. The opinions expressed by the school or department faculty or by internal or external referees shall not be discussed with the candidate or with other parties. This policy ensures that the candidacy of each person is treated with utmost confidentiality. It also provides an opportunity for those making the evaluation to have the freedom to provide written evaluation without fearing that their comments will be shared.

A breach of confidence by a participant in an appointment or reappointment case is a serious breach of professional ethics and may subject the individual to discipline.

The Vice Dean of the School of Medicine or the department chair (or his or her designate) will convey whatever information needs to be transmitted to the candidate.
C. Role of the Department Chair

The department chair is responsible for compliance with School guidelines regarding Instructor appointments and reappointments. He or she is to ensure that those conducting evaluations are fully informed about these guidelines in order to avoid delays and other problems due to deficiencies in procedure and documentation.

The ultimate decision on whether to forward the appointment or reappointment to the Vice Dean of the School of Medicine with a positive or negative recommendation is made by the department chair in his or her judgment and discretion.

D. Timing of Evaluations

After a candidate has been identified, the department chair, or his or her designate, is responsible for seeing that the appointment file is completed in a timely manner. Departments are advised to allow a minimum of thirty days in advance of the effective date for completion of school review. Under normal circumstances, reappointment reviews for Instructors are initiated approximately four months in advance of the appointment end date to secure a School decision in a timely manner.

E. Departmental Review

Departments vary in their practices regarding preparation and approval of Instructor appointment and reappointment files. Normally the Instructor candidate’s supervising faculty mentor participates in the appointment or reappointment review. At a minimum, a recommendation must be approved by the department chair and division chief, if applicable.

F. Review by the Office of Academic Affairs

The appointment or reappointment file is submitted by the department chair to the Office of Academic Affairs for review by the Vice Dean of the School of Medicine (or a designate). The Vice Dean may, in his or her judgment, make a negative recommendation on the file or take such other action as deemed appropriate, including request additional information or remand the action to the department.
7.4 Compensation and Benefits

A. Compensation

Salary is set annually, with changes based on merit, performance, department resources, and in accordance with the overall annual salary programs promulgated by the School of Medicine. Changes in salary occur annually and are effective for the start of the fiscal year.

The Dean of the School of Medicine (or his or her delegate) approves an Instructor’s salary on recommendation from the department chair in advance of any commitment to the candidate. General funds may not be allocated to support the salary of an Instructor. Departments should strive for comparable pay for comparable work and should provide clear productivity expectations and measures that are linked to salary and incentives.

If an Instructor is concurrently employed by Stanford University and by the Veterans Affairs Palo Alto Health Care System (“VAPAHCS”), the Stanford base salary will be prorated by the University and paid based on the percentage of the Stanford University Medical Center appointment. The VAPAHCS will pay the Instructor at its rate for the VAPAHCS portion of employment.

B. Benefits

Instructors who meet the eligibility criteria have access to certain Stanford exempt regular staff comprehensive benefits after employment begins, including medical, dental, vision, life and disability insurance, professional development opportunities, retirement plans, and a college tuition grant program for eligible dependents.


The University also provides expert assistance with childcare, elder care and other work and family support. Information is available from the WorkLife Office website, http://worklife.stanford.edu.

C. Housing and Relocation

Housing and relocation information and assistance is available regarding rental resources, information on the housing market, cities, neighborhoods, schools, moving vendors, etc. Additional information is available from the School of Medicine’s relocation office, http://med.stanford.edu/relocation.
D. Identification Cards and Privileges

Instructors are eligible for a Stanford University Faculty/Staff machine-readable photo identification card that allows use of Department of Athletics, Physical Education and Recreation and library facilities and services.

Instructors (Affiliated) are eligible for a Courtesy Card that allows use of library facilities and services, including Lane Library borrowing privileges. Off-campus access to online databases requires the appointing Stanford department to sponsor the Instructor (Affiliated) for a base SUNet ID for computing services, as long as the person to be sponsored meets basic eligibility requirements. More information is available at http://www.stanford.edu/dept/as/mais/applications/sponsorship/.


E. SUNetId

The SUNet ID is a unique account name that identifies an individual as a member of the Stanford community, with access to the Stanford University Network of computing resources and services. The SUNet ID is a permanent and visible part of the individual’s Stanford identity. More information is available at http://accounts.stanford.edu/.
7.5 Absences

A. General Provisions

Instructors are not eligible for vacation and sick leave accrual.

B. Paid Absences

1. Short Absences

Short absences such as brief illnesses, doctor appointments, personal business appointments, other leaves such as jury duty, and bereavement leave are with pay. Absences should be reported to the department as soon as the need is known or anticipated.

2. Time Off with Pay

Instructors are eligible for time off with pay from regular service that can be scheduled throughout the year with departmental approval. Time off with pay may be granted up to 22 days per year, pro-rated for the Instructor’s percent time of appointment and start date. Time off with pay is available at the beginning of the calendar year and may not be carried forward from year to year. Pay in lieu of time off is not possible. The department chair must approve such exceptions, in advance. Time off with pay has no cash value, and is not paid out in any fashion at the time that employment ends.

3. Paid Conference Leave

Instructors eligible for Stanford University employee benefits are eligible for paid conference leave that may be taken for the purpose of attending professional development conferences or for participating in similar professional development opportunities.

Paid conference leave is not automatic and must be applied for and approved by the department in advance. Instructors with regular clinical responsibilities should work with their service chiefs and department chairs to assure adequate coverage of their clinical services while they are on paid conference leave.
4. Absence Due to Disability

Instructors are entitled to time off due to disability. If an Instructor is disabled, he/she is expected to file for short-term disability benefits. Salary will be reduced by the amount of disability benefit for the first 90 days of disability. After 90 days, the Instructor is eligible to apply for long term disability benefits and the leave of absence may continue as leave without pay. See Administrative Guide Memo 2.3.5 at https://adminguide.stanford.edu/chapter-2/subchapter-3/policy-2-3-5 for additional information on leave of absence, including disability leave. Questions should be directed to University Human Resources, Disability and Leave Services.

5. Additional Assistance for Professional Development

Instructors may have two categories of professional development assistance available to them, as follows:

STAP (Staff Training Assistance Program) funds of up to a certain amount per year may be used for job-related training. For instance, they may be used to pay registration fees for conferences.

STRP (Staff Tuition Reimbursement Program) funds of up to a certain amount per year may be used for undergraduate or graduate degree programs.

These funds are pro-rated based on FTE. Further information about these programs may be found on the Education Assistance Programs website http://hreap.stanford.edu/.

C. Unpaid Absences

During an unpaid absence an Instructor does not receive pay from the University. Administrative Guide Memo 2.1.8.2 describes several types of leave of absence without salary and addresses benefits continuation during an unpaid leave of absence. An Instructor may be placed on personal leave without pay at a department’s discretion and with advance approval from the Office of Academic Affairs. Consideration will be given to the type of absence, the impact on programmatic need, and whether the absence is to be partial or complete, and the duration of the absence; approval of an absence exceeding 12 months should be rare. An unpaid leave of absence must be for a definite period with specific starting and ending dates and cannot extend beyond the end of a fixed-term appointment. Additional policies for Leaves of Absence appear in Administrative Guide Memos 2.1.8.3 and 2.1.8.4.
7.6 Other Policies

A. Clinical Care Activities and Revenue

For Instructor appointments for which clinical care activity is applicable, the Practice Policy for the Physicians and Psychologists in the School of Medicine governs all clinicians in the School of Medicine involved in clinical care activities and the revenue generated by them. Compliance with this policy is a condition of employment. The policy is available at http://med.stanford.edu/academicaffairs/documents/rules-of-practice.pdf.

B. Patent and Copyright

All employees are required to sign a Stanford University Patent and Copyright Agreement. The policies at http://doresearch.stanford.edu/policies/research-policy-handbook/intellectual-property apply to all individuals who work at Stanford, or who come here to engage in research.

C. Data Security

The School of Medicine Data Security Program mandates enterprise backup and encryption of all computers and mobile devices used for Stanford business by faculty, staff, students and other affiliates, if the device might store or access Protected Health Information (PHI) or other Restricted or Prohibited Data. This requirement applies to both Stanford-owned and personally-owned equipment. All individuals in the School of Medicine must complete a Data & Device Attestation to identify whether they are exposed to Restricted or Prohibited Data and, if so, the kinds of devices they use. Every Instructor must submit a Data & Device Attestation at https://med.stanford.edu/datasecurity within seven days of his or her initial appointment start date.

D. Conflicts of Interest and Commitment

1. Applicability of the Stanford University Faculty Policy on Conflicts of Interest and Commitment

The general spirit of the Stanford University Faculty Policy on Conflicts of Interest and Commitment and the policies pertaining to consulting and other outside professional activities by members of the professoriate apply to Instructors, http://doresearch.stanford.edu/policies/research-policy-handbook/conflicts-commitment-and-interest.

In the case of an Instructor working at Stanford on a part-time basis, the general principle applies to the extent of the Stanford appointment. An Instructor on less than a full time appointment may engage in consulting relationships and other employment to the extent that those activities do not interfere with his or her
obligations to Stanford and in compliance with all other University policies.

If a situation raising questions of conflict of interest or commitment arises, an Instructor is urged to discuss the situation with his or her department chair.

2. Training and Disclosure

All newly hired Instructors must complete the training tutorial titled Avoiding Financial Conflicts of Interest. This is a self-paced, web-based module designed to provide an overview of the high-risk situations that can lead to financial conflicts of interest. Additional information about the module can be found at the COI website http://stanford.edu/group/coi/training/training.html. It is available to all members of the Stanford community with SUNetIds through the Stanford Training and Registration System (STARS).

In addition, all new and continuing Instructors must disclose any outside professional activities that could reasonably be seen to be related to their Stanford responsibilities in research, teaching, administration, or clinical care activities in Stanford’s Outside Professional Activities Certification System (OPACS), https://opacsprd.stanford.edu.

3. Stanford Industry Interactions Policy (SIIP)

Instructors are expected to comply with the Stanford Industry Interactions Policy (SIIP) governs interactions, largely in the clinical and educational arenas, with the pharmaceutical, biotech, medical device, and hospital and research equipment and supplies industries. Additional information is available School of Medicine website, http://med.stanford.edu/coi/siip/.

4. Academic Appointment at Another Institution

A concurrent academic appointment at another institution is not permitted for an Instructor holding a full time appointment at Stanford.

E. Use of Stanford Name or Marks

The Stanford University or School of Medicine name or marks may be used only in direct relation to Stanford-related duties, activities and responsibilities (Administrative Guide Memo 1.5.4). Questions about the appropriate use of the Stanford name are to be directed to the Office of Academic Affairs.

F. Mandatory Reporting of Child Abuse and Neglect

For Instructor appointments for which clinical care activity is applicable, California law requires certain individuals at Stanford to report known or reasonably suspected child abuse or neglect to the authorities. These individuals are known under the law as “Mandated Reporters”. Information about mandatory reporting and links to the
California penal code provisions are available at http://uhr.stanford.edu/mandatory-reporting-child-abuse-and-neglect. Employees and others who have been identified as Mandated Reporters for Child Abuse are required to sign the online “Acknowledgment of Mandated Reporter Status” form following the instructions on http://uhr.stanford.edu/form-instructions.

G. Blood Borne Pathogens

The California Blood Borne Pathogen (BBP) Standard requires that an employee who has been determined to come into contact with human blood and/or other potentially infectious materials (OPIM) participate in an initial training and an annual update training session for as long as he or she remains exposed to those materials. In addition, the employee is required to either be vaccinated with the Hepatitis B vaccine within ten working days of his or her initial assignment or sign a declination statement if he or she chooses not to be vaccinated.

H. Health Insurance Portability and Accountability Act (HIPAA)

The Health Insurance Portability and Accountability Act (HIPAA) regulations provide significant privacy protections for the health information of patients and research subjects. As an academic medical center, Stanford University School of Medicine has implemented training for all staff to address the management of health data in research, education and clinical care. All new employees with the School of Medicine are required to complete HIPAA training within thirty days of the employment date, but, in any case, before the employee begins any work that requires handling of patient health information (PHI) or human subjects’ health information. The training provides guidelines and requirements regarding handling of PHI, privacy, security, and other aspects of HIPAA. Compliance with School of Medicine policy, https://acp.stanford.edu/hipaa/hipaa, regarding HIPAA training and handling of confidential/private PHI is required and a condition of employment; failure to complete training, or any inappropriate handling and/or disclosure of PHI may be grounds for termination.

I. Sexual Harassment

Stanford University’s sexual harassment policy appears in Administrative Guide Memo 1.7.1. California AB1825 mandates that all faculty and supervisory staff must complete at least two hours of sexual harassment prevention training at least every two years. Newly hired or promoted faculty and supervisors must complete this training within six months of employment or promotion. The University cannot exempt any supervisors – faculty or staff – from this legal obligation. Failure to complete the training by the deadline date will be reported to the Dean and the employee may not be able to remain in a supervisory role.